

| Field No. | Type Data | Field Length | Record Position | Instructions |
|-----------|-----------|--------------|-----------------|--|
| 18 | N | 1 | 364 | <u>Type of Assistance Transaction</u> Enter the appropriate code from the following list: 1 = revenue sharing/block grant (A)* 2 = formula grant (A) 3 = project grant (B) 4 = cooperative agreement (B) 5 = direct payment for specified use (C), subsidy, other nonreimbursable direct financial assistance 6 = direct loan (E) 7 = guaranteed/insured loan (F) 8 = insurance (G) 9 = other reimbursable, contingent, intangible, or indirect financial assistance 0 = direct payment with unrestricted use (D) (retirement, pension, veterans benefit, etc.) See Exhibit 12 for definitions of these entries. |
| 19 | N | 1 | 365 | <u>Record Type</u> Enter numeric 1 (county aggregate reporting). |
| 20 | A | 1 | 366 | <u>Correction/Late Indicator</u> Enter the appropriate code: C = correction to a record reported in a prior quarter L = late reporting of an action occurring in prior quarter blank = normal entry |
| 21 | N | 1 | 367 | <u>Correction Quarter</u> Enter the number of the quarter in which the record being corrected had originally been reported or the quarter in which the record should have been reported. |
| 22 | AN | 33 | 368-400 | <u>Reserve Field</u> Blank field reserved for use of the Executive Agent. |

* Refers to Type of Assistance in Catalog of Federal Domestic Assistance.

EXHIBIT 4

FEDERAL ASSISTANCE AWARD DATA SYSTEM COMPUTER TAPE AND COMPUTER CARD INPUT SPECIFICATIONS Computer Tape Specifications

1. Tape Format

Data will be submitted on magnetic tape. Nine-track phase-encoded 1600 bpi (or NRZI 800 bpi), EBCDIC mode, odd parity (IBM compatible) is required. ASCII mode is acceptable as an alternative to EBCDIC. All tape submissions will utilize unpacked data fields only (decimal or alphanumeric data). The data portion of the file will contain 400 character fixed-length records, 10 records per block.

2. External Tape Labels

- **Tape Characteristics**
 - Recording Density—Indicate 800 bpi or 1600 bpi and 9 track
 - Recording Mode—Indicate EBCDIC or ASCII
 - Tape Parity—Odd, 9 track
 - Volume Count—If all data is on a single reel, indicate "1 of 1." If multiple reels, identify each reel (as appropriate) as "1 of 2," "2 of 2," etc.
 - Block Size—Indicate block size. 10 records per block (4000 characters) is the preferable block size.
 - Volume Serial—Indicate the O.S. standard volume serial number (1-6 characters) of the tape.
 - Data Set Name—Indicate the 1-17 character O.S. data set name. Indicate if data sets are stacked on a tape (multifile volume). The DSNAME of each data set must be identified and unique.
- **Return Address**—All tapes will be returned to agencies. Indicate the name of the person, agency, and mailing address where each tape should be sent.

3. Internal Tape Labels

The file labels, if used, must be O.S. standard for IBM 360/370 series. If O.S. standard labels cannot be produced, leave the tape unlabeled (data followed by one or more tape marks).

4. Arrangement of Records

There is no specific requirement for sort sequence.

5. Blank Fields

In cases where federal agencies either do not have the required data or find that an item is not applicable to the action, they should leave the field blank unless otherwise specified in the instructions.. These fields should not contain alpha or numeric characters of any kind, such as "NA," "XXX," and so forth.

Computer Card Input Specifications

1. Card Format

Use standard 80 column, 12 row cards. Five cards make up one 400 character record. Card sequence should be the same on all five cards for each record. Start sequence number with "001" and increment by one for each record or set of five cards. (See sample card input record, last page of this Exhibit.)

2. Card Input Record

| Card Position | Type Data | Field Length | Field Reference Exhibit Two |
|---------------|-----------|--------------|-----------------------------|
| CARD 1 | | | |
| 1-7 | AN | 7 | 1 |
| 8-27 | AN | 20 | 2 |
| 28-72 | AN | 45 | 3 |
| 73-75 | | 3 | Blank |
| 76-78 | N | 3 | Card seq. |
| 79-80 | N | 2 | "01" |
| CARD 2 | | | |
| 1-5 | N | 5 | 4(a) |
| 6-26 | AN | 21 | 4(b) |
| 27-29 | N | 3 | 5(a) |
| 30-50 | AN | 21 | 5(b) |
| 51-52 | N | 2 | 6 |
| 53-61 | AN | 9 | 7 |
| 62-67 | N | 6 | 16 |

| Card Position | Type Data | Field Length | Field Reference Exhibit Two |
|----------------|-----------|--------------|-----------------------------|
| 68-73 | N | 6 | 17 |
| 74-75 | | 2 | Blank |
| 76-78 | N | 3 | Card seq. |
| 79-80 | N | 2 | "02" |
| CARD 3 1-75 | AN | 75 | 8 (First half) |
| 76-78 | N | 3 | Card seq. |
| 79-80 | N | 2 | "03" |
| CARD 4 1-75 | AN | 75 | 8 (Second Half) |
| 76-78 | N | 3 | Card seq. |
| 79-80 | N | 2 | "04" |
| CARD 5 1 | AN | 1 | 9 |
| 2 | AN | 1 | 10 |
| 3-4 | N | 2 | 11 |
| 5-8 | N | 4 | 12 |
| 9-28 | AN | 20 | 13 |
| 29 | AN | 1 | 14(a) |
| 30-39 | N | 10 | 14(a) |
| 40 | AN | 1 | 14(b) |
| 41-50 | N | 10 | 14(b) |
| 51 | AN | 1 | 14(c) |
| 52-62 | N | 11 | 14(c) |
| 63-68 | N | 6 | 15 |
| 69 | N | 1 | 18 |

| Card Position | Type Data | Field Length | Field Reference Exhibit Two |
|------------------|--------------|-----------------|--------------------------------|
| 70 | N | 1 | 19 |
| 71 | A | 1 | 20 |
| 72 | N | 1 | 21 |
| 73-75 | | 3 | Blank |
| 76-78 | N | 3 | Card seq. |
| 79-80 | N | 2 | "05" |

FEDERAL ASSISTANCE AWARD DATA SYSTEM
AGENCY REPORTING COMPLIANCE SHEET

AGENCY _____ REPORTING PERIOD _____

1. COVERAGE

- ☐ All agency financial assistance actions
- ☐ Only CFDA program(s) covered by A-95 and TC 1082
- ☐ Programs covered by A-95 and TC 1082 plus some additional CFDA programs

Nb. of reportable CFDA programs _____

Nb. of CFDA programs reported during quarter _____

List of CFDA programs not included in report:

List of reported programs not included in the Catalog:

List of programs for which pseudo codes were used (indicate pseudo code along with program title and description):

2. DEGREE OF DATA ELEMENT REPORTING

- ☐ Total (all data elements provided)
- ☐ Partial (blanks for some data elements)

List of missing data elements by Field Nb.:

- ☐ Deviation(s) (some data elements deviate from reporting requirements)

List of deviations by Field Nb.:

3. PRECAUTIONARY STATEMENT(S) REGARDING AGENCY REPORTING

For further information, contact _____ Phone _____

| CARD | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 | 31 | 32 | 33 | 34 | 35 | 36 | 37 | 38 | 39 | 40 | 41 | 42 | 43 | 44 | 45 | 46 | 47 | 48 | 49 | 50 | 51 | 52 | 53 | 54 | 55 | 56 | 57 | 58 | 59 | 60 | 61 | 62 | 63 | 64 | 65 | 66 | 67 | 68 | 69 | 70 | 71 | 72 | 73 | 74 | 75 | 76 | 77 | 78 | 79 | 80 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|--|------------|---------------------|-----------|-----------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-----------------------------------|----|-----------------|-----|-----------|------|-----------|-------|-------|-------|--------|------|-----------|----|-----------|----|-----------|-----|--------------|-----|-------|----|-------|------|-------|------|-------|------|-----------|-----|-------|-----|-------|-----|-------|-----|-------|----|-------|----|-------|----|-------|----|-------|-----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|-------|----|
| CARD 1 | CFDA | NO | SAI | NUMBER | * * * * * | | | | | | | | | | | | | | | | RECIPIENT | NAME | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 2 | CITY | CODE | CITY | NAME | * * * * * | | | | | | | | | | | | | | | | COUNTY | NAME | * * * * * | | | | | | | | | | | | | | | | ZIP | CODE | START | DATE | END | DATE | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 02 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 3 | PROJECT DESCRIPTION (FIRST HALF) | | | | | | | | | | | | | | | | PROJECT DESCRIPTION (SECOND HALF) | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 03 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 4 | PROJECT DESCRIPTION (SECOND HALF) | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 04 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 5 | FED | AWARD | IDENT. | * * * * * | | | | | | | | | | | | | | | | FED | FUNDS | NON- | FED | FUNDS | TOTAL | FUNDS | ACTION | DATE | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 05 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>NOTE: FIVE CARDS MAKE UP ONE 400 CHARACTER RECORD. CARD SEQUENCE SHOULD BE THE SAME IN ALL FIVE CARDS FOR EACH RECORD. START SEQUENCE NUMBER WITH "001" AND INCREMENT BY ONE FOR EACH RECORD OR SET OF FIVE CARDS.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 1 | FIELD | 1 | FIELD | 2 | * * * * * | | | | | | | | | | | | | | | | FIELD | 3 | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 2 | FIELD | 4 | FIELD | 4 | * * * * * | | | | | | | | | | | | | | | | FIELD | 5 | FIELD | 6 | FIELD | 7 | FIELD | 8 | FIELD | 9 | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 02 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 3 | FIELD 8 (FIRST HALF) | | | | | | | | | | | | | | | | FIELD 8 (SECOND HALF) | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 03 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 4 | FIELD 8 (SECOND HALF) | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 04 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 5 | FIELD | 10 | FIELD | 11 | FIELD | 12 | FIELD | 13 | FIELD | 14 | FIELD | 15 | FIELD | 16 | FIELD | 17 | FIELD | 18 | FIELD | 19 | FIELD | 20 | FIELD | 21 | FIELD | 22 | FIELD | 23 | FIELD | 24 | FIELD | 25 | FIELD | 26 | FIELD | 27 | FIELD | 28 | FIELD | 29 | FIELD | 30 | FIELD | 31 | FIELD | 32 | FIELD | 33 | FIELD | 34 | FIELD | 35 | FIELD | 36 | FIELD | 37 | FIELD | 38 | FIELD | 39 | FIELD | 40 | FIELD | 41 | FIELD | 42 | FIELD | 43 | FIELD | 44 | FIELD | 45 | FIELD | 46 | FIELD | 47 | FIELD | 48 | FIELD | 49 | FIELD | 50 | FIELD | 51 | FIELD | 52 | FIELD | 53 | FIELD | 54 | FIELD | 55 | FIELD | 56 | FIELD | 57 | FIELD | 58 | FIELD | 59 | FIELD | 60 | FIELD | 61 | FIELD | 62 | FIELD | 63 | FIELD | 64 | FIELD | 65 | FIELD | 66 | FIELD | 67 | FIELD | 68 | FIELD | 69 | FIELD | 70 | FIELD | 71 | FIELD | 72 | FIELD | 73 | FIELD | 74 | FIELD | 75 | FIELD | 76 | FIELD | 77 | FIELD | 78 | FIELD | 79 | FIELD | 80 |
| <p>NOTE: FIELD NUMBERS ARE THOSE LISTED IN EXHIBIT 2 OF THESE REPORTING INSTRUCTIONS.</p> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 1 | 66.418 | 26800 | SUFFERN, VILLAGE OF | | | | | | | | | | | | | | | | BLANK | | | | | | | | | | | | | | | | CARD | SEQ | 01 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 2 | 6000 | SUFFERN | 087ROCKLAND | | | | | | | | | | | | | | | | 3610901 | | | | | | | | | | | | | | | | 800930820130 | | | | | | | | | | | | | | | | CARD | SEQ | 02 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 3 | PRELIMINARY MUNICIPAL WASTEWATER FACILITY PLAN (PRIOR COSTS) | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 03 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 4 | * * * * * | | | | | | | | | | | | | | | | * * * * * | | | | | | | | | | | | | | | | CARD | SEQ | 04 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| CARD 5 | E262000 | C361002030 | 40500 | | | | | | | | | | | | | | | | 405008009301211 | | | | | | | | | | | | | | | | CARD | SEQ | 05 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

FEDERAL ASSISTANCE AWARD DATA SYSTEM
DATA TRANSMITTAL SHEET

TO: OMB or Executive Agent

FROM: (Name of Agency)

1. NAME OF AGENCY CONTACT

2. NAME OF PERSON TO WHOM TAPE SHOULD BE RETURNED

ADDRESS:

ADDRESS:

TELEPHONE NO.:

TELEPHONE NO.:

SECTION ONE

FEDERAL AWARDS FISCAL QUARTER:

3. EDIT INFORMATION (TOTAL DOLLARS)

FEDERAL AMOUNT: \$

NON-FEDERAL AMOUNT: \$

SECTION TWO

MODE OF INPUT

4. NO. OF PUNCHED CARDS

5. MAGNETIC TAPE:

A. RECORDING MODE
(EBCDIC or ASCII)

B. RECORDING DENSITY

C. REEL NOS. OF TAPES

D. TAPE PARITY

E. BLOCK SIZE

F. NO. OF DATA RECORDS SUBMITTED

REMARKS: GSA CODE or FIPS 55 CODE

Signature of Agency Contact

Title

Date

FEDERAL ASSISTANCE AWARD DATA SYSTEM

CORRECTION CARD FORMAT

Enter correction data in appropriate field; leave all other fields blank. Correction cards must be in ascending sequence by Record ID. To delete an entire record, enter "DELETE" in positions 1 - 6 and Record ID in 75 - 80.

NOTE: Field for Record ID should always be completed.

| <u>Position</u> | <u>Length</u> | <u>Contents</u> |
|-----------------|---------------|--|
| 1 - 6 | 6 | CFDA NUMBER |
| 7 - 11 | 5 | CITY or PLACE CODE Left justified |
| 12 - 14 | 3 | COUNTY CODE |
| 15 - 16 | 2 | STATE CODE |
| 17 | 1 | TYPE OF RECIPIENT CODE |
| 18 | 1 | TYPE OF ACTION CODE |
| 19 - 22 | 4 | FEDERAL AGENCY CODE |
| 23 | 1 | FEDERAL FUNDING SIGN "-" if neg, blank if pos |
| 24 - 33 | 10 | FEDERAL FUNDING AMOUNT Right justified with leading zeros |
| 34 | 1 | NON-FEDERAL FUNDING SIGN "-" if neg, blank if pos |
| 35 - 44 | 10 | NON-FEDERAL FUNDING AMOUNT Right justified with leading zeros |
| 45 | 1 | TOTAL FUNDING SIGN "-" if neg, blank if pos |
| 46 - 56 | 11 | TOTAL FUNDING AMOUNT Right justified with leading zeros |
| 57 - 62 | 6 | ACTION DATE (yyymmdd) |
| 63 | 1 | TYPE OF ASSISTANCE TRANSACTION |
| 64 - 65 | 2 | CONGRESSIONAL DISTRICT |
| 66 - 74 | 9 | BLANK |
| 75 - 80 | 6 | RECORD I.D. |

| CFDA Number | | | | | City or Place | | | | | Co. Code | | | | | St. Code | | | | | Recipient Action | | | | | Fed Agency | | | | | Sign | | | | | Federal Funding Amount | | | | | | | | | | Sign | | | | | Non-Federal Funding Amount | | | | | | | | | | Sign | | | | | Total Funding Amount | | | | | | | | | | Action Date | | | | | Assistance | | | | | Cong. Dist. | | | | | Blank | | | | | | | | | | Record ID | | | | |
|-------------------|---|---|---|---|---------------|---|---|---|----|----------|----|----|----|----|----------|----|----|----|----|------------------|----|----|----|----|------------|----|----|----|----|------|----|----|----|----|------------------------|----|----|----|----|----|----|----|----|----|------|----|----|----|----|----------------------------|----|----|----|----|----|----|----|----|----|------|----|----|----|----|----------------------|----|----|----|----|----|----|----|----|----|-------------|----|----|----|----|------------|--|--|--|--|-------------|--|--|--|--|-------|--|--|--|--|--|--|--|--|--|-----------|--|--|--|--|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30 | 31 | 32 | 33 | 34 | 35 | 36 | 37 | 38 | 39 | 40 | 41 | 42 | 43 | 44 | 45 | 46 | 47 | 48 | 49 | 50 | 51 | 52 | 53 | 54 | 55 | 56 | 57 | 58 | 59 | 60 | 61 | 62 | 63 | 64 | 65 | 66 | 67 | 68 | 69 | 70 | 71 | 72 | 73 | 74 | 75 | 76 | 77 | 78 | 79 | 80 | | | | | | | | | | | | | | | | | | | | | | | | | |
| CORRECTION FORMAT | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

EXHIBIT 8

FEDERAL ASSISTANCE AWARD DATA SYSTEM STANDARD FORMAT FOR STATE APPLICATION IDENTIFIER NUMBER (FIELD 2)

The standard format for the State Application Identifier (SAI) Number is 12 characters as follows:

State, Year, Month, Day, Sequential Number
(SAMPLE: MD810313-003)

| <u>Position</u> | <u>Component</u> |
|-----------------|--|
| 1-2 | Two-position standard alpha code for state |
| 3-4 | Last two digits of calendar year (81 = 1981) |
| 5-6 | Month of year (03 = March) |
| 7-8 | Day of month (13 = March 13) |
| 9 | Hyphen |
| 10-12 | Sequential number (000 through 999) |

Some states may be using the standard 12 characters as a core number, but appending additional characters to facilitate identification of awards. The field length for the SAI number in FAADS is 20 positions. Agencies should report the entire SAI number used by the state.

States have the option of adopting the standard format on a voluntary basis. The status of state conversion to the standard format and time frame follows:

STATE CLEARING-HOUSE ADOPTION OF STANDARD SAI FORMAT

| | | | | | |
|----------------------|-------|-----------|-------------------|-----|---------|
| Alabama | Yes | 7/15/81 | American Samoa | No | |
| Alaska | Yes | 6/1/81 | Guam | No | |
| Arizona | Yes | 7/1/81 | Northern Marianas | | |
| Arkansas | Yes | 7/1/81 | Puerto Rico | Yes | 6/1/81 |
| California | Yes | late 1981 | Virgin Islands | Yes | 10/1/81 |
| Colorado | Yes | 1/1/81 | Trust Territory | No | |
| Connecticut | Yes | 7/1/81 | | | |
| Delaware | Maybe | | | | |
| Florida | Yes | 7/1/81 | | | |
| Georgia | Yes | 1/1/81 | | | |
| Hawaii | Maybe | | | | |
| Idaho | Yes | 7/1/81 | | | |
| Illinois | Yes | 8/1/81 | | | |
| Indiana | Yes | 8/1/81 | | | |
| Iowa | Yes | 7/1/81 | | | |
| Kansas | Yes | 7/1/81 | | | |
| Kentucky | Yes | 7/1/81 | | | |
| Louisiana | Yes | 7/1/81 | | | |
| Maine | No | | | | |
| Maryland | Maybe | | | | |
| Massachusetts | Yes | 7/1/81 | | | |
| Michigan | Yes | ? | | | |
| Minnesota | Yes | 7/1/81 | | | |
| Mississippi | Yes | 1/1/81 | | | |
| Missouri | Maybe | | | | |
| Montana | Yes | 1/1/81 | | | |
| Nebraska | Yes | 7/1/81 | | | |
| Nevada | No | | | | |
| New Hampshire | No | | | | |
| New Jersey | Yes | 6/1/81 | | | |
| New Mexico | Yes | 7/1/81 | | | |
| New York | No | | | | |
| North Carolina | No | | | | |
| North Dakota | Yes | 3/15/81 | | | |
| Ohio | Maybe | | | | |
| Oklahoma | Yes | 7/1/81 | | | |
| Oregon | Yes | | | | |
| Pennsylvania | No | | | | |
| Rhode Island | | | | | |
| South Carolina | Yes | 8/1/81 | | | |
| South Dakota | Yes | 7/1/81 | | | |
| Tennessee | Yes | 7/1/81 | | | |
| Texas | Yes | 7/1/81 | | | |
| Utah | Yes | 4/1/81 | | | |
| Vermont | Maybe | | | | |
| Virginia | Yes | ? | | | |
| Washington | Yes | late 1981 | | | |
| West Virginia | Yes | 7/1/81 | | | |
| Wisconsin | Yes | completed | | | |
| Wyoming | Yes | 4/15/81 | | | |
| District of Columbia | Yes | 10/1/81 | | | |

FEDERAL ASSISTANCE AWARD DATA SYSTEM
Guidance for Formatting Name of Recipient
(Field 3)

I. General Rules

- A. The recipient name should identify the specific organizational element (subdivision) that is receiving an award. The name of this subdivision is entered after the name of the parent organization. Only these two organizational elements should be used, even though other organizational elements may exist in the intervening hierarchical structure of the organization.
- B. The first word of a recipient name should never be abbreviated. Abbreviations should be used only when the recipient name exceeds the field length. When abbreviations are necessary, the following guidelines should be used:
- a. Abbreviate from the right side of the name
 - b. Abbreviate only one word, if possible
 - c. Abbreviate the most commonly used word

A list of recommended abbreviations for use within recipient names appears at the end of this Exhibit.

- C. The articles A, An, and The should be omitted when they appear as the first word of a name.
- D. The comma must be used to separate the name of a subdivision from its parent organization, except as noted below for state and local government agencies.

II. Names of Recipient Organizations

A. State and Local Government Agencies

Subdivisions of state, county, or city governments such as departments, agencies, bureaus, boards, commissions, councils, etc., should be prefixed with the unabbreviated name of the state, county, or city. Examples are:

Arizona Department of Health
Orange County Department of Social Services
Indianapolis Division of Finance

It is particularly important that the subdivision be included as part of the recipient name.

B. Educational Institutions

The names of city or state universities must begin with the city or state name. Thus, University of Missouri is inverted to Missouri University. However, names of regional institutions or names beginning with "State University of" are not inverted. Examples:

Pennsylvania University, Medical School
Virginia University, Department of Electrical Engineering
State University of New York, Department of Mathematics
University of Southern California, Audio/Visual Lab

C. Nonprofit/Profit Organizations

The names should be written as they appear on the application for assistance. Again, the parent organization name is written first, followed by a comma separating it from the name of the recipient subdivision:

General Electric Co., Lampshade Division
American Cyanamide Corp., Lederle Labs

D. Indian Tribes

The names of Indian Tribes should be written as they appear on the application for assistance.

E. Individuals

When an award is granted to an individual, the name of the individual should be entered in the form: last name, first name, middle initial. Titles, degrees, etc., should be omitted.

RECOMMENDED ABBREVIATIONS
FOR RECIPIENT NAMES

| <u>WORD</u> | <u>ABBREVIATION</u> | <u>WORD</u> | <u>ABBREVIATION</u> |
|----------------|---------------------|-----------------|---------------------|
| ADMINISTRATION | ADMIN | EAST | E |
| AGENCY | AGCY | ECONOMIC | ECON |
| AGRICULTURAL | AGRIC | EDUCATION | EDUC |
| AMERICAN | AMER | ENGINEERING | ENGR |
| ANALYSIS | ANAL | EVALUATION | EVAL |
| AND | & | EXECUTIVE | EXEC |
| ASSISTANT | ASST | EXPERIMENTAL | EXPERI |
| ASSOCIATION | ASSN | EXTENSION | EXT |
| AUTHORITY | AUTH | | |
| AUXILIARY | AUX | FACILITIES | FAC |
| | | FEDERAL | FED |
| BANK/BANKING | BK | FINANCE | FIN |
| BIOMEDICAL | BIOMED | FOUNDATION | FDN |
| BOARD | BD | | |
| BRANCH | BR | GENERAL | GEN |
| BUREAU | BUR | GOVERNMENT | GOVT |
| BUSINESS | BUS | GRADUATE | GRAD |
| | | | |
| CAMPUS | CAM | HEADQUARTERS | HDQRS |
| CENTER | CTR | HEALTH | HLTH |
| CHEMISTRY | CHEM | | |
| CLINIC | CLIN | INCORPORATED | INC |
| COLLEGE | COL | INDUSTRIAL | INDSTRL |
| COMMISSION | COMM | INTERNATIONAL | INTL |
| COMMITTEE | CMTE | INSTITUTE | INST |
| COMMUNITY | CMTY | | |
| COMPANY | CO | JOINT | JT |
| COMPREHENSIVE | COMP | JUNIOR | JR |
| CONFERENCE | CONF | | |
| CONTROL | CTRL | LABORATORY | LAB |
| CONSTRUCTION | CONSTR | LIBRARY | LIB |
| COOPERATIVE | COOP | LIMITED | LTD |
| CORPORATION | CORP | | |
| COUNCIL | CNCL | MANAGEMENT | MGMT |
| COURT | CT | MANUFACTURING | MFG |
| COUNTY | CNTY | MECHANICAL | MECH |
| | | MEDICAL | MDCL |
| DENTAL | DNIL | MEDICINE | MED |
| DEPARTMENT | DEPT | MENTAL | MNIL |
| DEVELOPMENT | DEV | METROPOLITAN | METRO |
| DISTRICT | DIST | MISCELLANEOUS | MISC |
| DIVISION | DIV | MODERN/MODIFIED | MOD |
| DOCTOR | DR | MOUNT | MT |
| | | MUNICIPAL | MUNIC |

EXHIBIT 10

FEDERAL ASSISTANCE AWARD DATA SYSTEM GUIDANCE AND DEFINITIONS FOR CODING TYPE OF RECIPIENT (FIELD 9)

1. Guidance

- a. The entries listed in the Federal Assistance Award Data System (FAADS) Reporting Instructions use the same alpha characterization as found on the federal Standard Form 424.
- b. Three coding entries are not found on the SF 424, but may be used if appropriate:
 - L = profit organization
 - M = individual
 - N = nonprofit organization
- c. Codes should reflect the type most specific and applicable to the recipient. In a few cases, there is potential for two or possibly more codes to be applicable; for example, a higher education institution may also be part of state government. The most specific and applicable code in this instance would be, I = higher education institution.
- d. In the case of a financial assistance action with a state agency, the type recipient should be coded A = state government regardless of the fact that the eventual recipient of the passthrough funds is an individual or some other type recipient. By FAADS definition, the federal action is with the state agency and the record should reflect this fact.

2. Definitions

The following definitions should be used in FAADS:

A = state government

Includes all 50 states, plus the District of Columbia, Puerto Rico, and the territories*

*

On January 9, 1978, the Commonwealth of the Northern Mariana Islands was established as a separate political entity by Presidential Proclamation 4534, pursuant to Public Law 94-241. For administrative reasons, the Commonwealth received federal assistance through the Trust Territory of the Pacific Islands for a transition period during 1978. However, since 1979, the Commonwealth has received virtually all of its federal assistance directly.

During the United States Trusteeship, both governments temporarily reside in Saipan, Northern Mariana Islands, and have as their final line of address, "Saipan, CM 96950." It is important to distinguish between federal assistance actions made to each of these Territories. Accordingly, the following territorial codes should be used in Field 6, Recipient State:

- Commonwealth of Northern Mariana Islands = 69
- Trust Territory of the Pacific Islands = 75

| <u>WORD</u> | <u>ABBREVIATION</u> | <u>WORD</u> | <u>ABBREVIATION</u> |
|----------------|---------------------|-------------|---------------------|
| NATIONAL | NATL | VALLEY | VLY |
| NORTH | N | VETERINARY | VET |
| NORTHEAST | NE | VICINITY | VIC |
| NORTHWEST | NW | VOCATIONAL | VOC |
| NURSING | NURS | | |
| OFFICE | OFF | WEST | W |
| ORGANIZATION | ORG | | |
| | | | |
| PATHOLOGY | PATH | | |
| PHARMACY | PHARM | | |
| PLANNING | PLNG | | |
| PREPARATORY | PREP | | |
| PREVENTION | PREV | | |
| PROFESSOR | PROF | | |
| PROGRAM | PRGM | | |
| PROJECT | PRJT | | |
| PUBLIC | PUB | | |
| | | | |
| REGIONAL | REG | | |
| REHABILITATION | REHAB | | |
| RESEARCH | RES | | |
| RESERVATION | RESVA | | |
| REVENUE | REV | | |
| | | | |
| SAINT | ST | | |
| SAVINGS | SVGS | | |
| SCHOOL | SCH | | |
| SCIENCE | SCI | | |
| SECTION | SECT | | |
| SERVICE (S) | SVC (S) | | |
| SOCIETY | SOC | | |
| SOUTH | S | | |
| SOUTHEAST | SE | | |
| SOUTHWEST | SW | | |
| STATE | ST | | |
| SUPERINTENDENT | SUPT | | |
| SUPERVISORY | SUPVY | | |
| | | | |
| TECHNICAL | TECH | | |
| TELEVISION | TV | | |
| TERRITORY | TERR | | |
| TOWNSHIP | TWP | | |
| TRAINING | TRNG | | |
| TREASURER | TREAS | | |
| TRUSTEE | TR | | |
| | | | |
| UNITED | UNITD | | |
| UNITED STATES | US | | |
| UNIVERSITY | UNIV | | |

| | | | |
|---|---|---------------------------------|--|
| B | = | interstate agency or commission | Includes designated interstate agency or commission |
| C | = | substate district | Includes multi-county districts made up of general purpose governments typically serving functions such as planning and training |
| D | = | county government | Includes the usual counties as well as parishes in Louisiana, boroughs in Alaska, and towns/townships in certain New England states which serve the general purpose equivalent of a county |
| E | = | city government | Includes towns, townships or other municipalities |
| F | = | school district | Includes political designation of school districts |
| G | = | special purpose district | Includes districts usually organized to serve functions such as water and sewer, recreation, fire protection |
| H | = | Community Action Agency | Self explanatory |
| I | = | higher education institution | Includes educational organizations such as colleges and universities which receive public and/or private funds |
| J | = | Indian tribe | Self explanatory |
| K | = | other | Not otherwise classified |
| L | = | profit organization | For profit organizations excluding private educational institutions |
| M | = | individual | Includes Social Security and VA beneficiaries and other non-business and non-government recipients of federal assistance |
| N | = | nonprofit organization | Includes organizations having a 501.c.3 status with the IRS, other than higher education organizations and community action agencies |

EXHIBIT II

FEDERAL ASSISTANCE AWARD DATA SYSTEM
FEDERAL AGENCY/ORGANIZATIONAL UNIT CODE*

(FIELD 12)

NOTE: These codes have not been finalized and may change.

| | |
|------|--|
| 1200 | Agriculture, Department of |
| 1201 | Office of the Secretary of Agriculture |
| 1220 | Agricultural Stabilization and Conservation Service |
| 1221 | Commodity Credit Corporation |
| 1222 | Federal Crop Insurance Corporation |
| 1223 | Foreign Agricultural Service |
| 1226 | Forest Service |
| 1227 | Soil Conservation Service |
| 1230 | Agricultural Research Service |
| 1231 | Cooperative State Research Service |
| 1232 | Extension Service |
| 1233 | National Agricultural Library |
| 1236 | Farmers Home Administration |
| 1237 | Rural Electrification Administration |
| 1240 | Agricultural Cooperative Service |
| 1241 | Agricultural Marketing Service |
| 1242 | Animal and Plant Health Inspection Service |
| 1243 | Federal Grain Inspection Service |
| 1245 | Packers and Stockyard Administration |
| 1251 | Food and Nutrition Service |
| 1252 | Food Safety and Inspection Service |
| 1253 | Human Nutrition Informational Service |
| 1255 | Economics Research Service |
| 1256 | Statistical Reporting Service |
| 1257 | World Food and Agricultural Outlook and Situation Board |
| 1261 | Rural Telephone Bank |
| 1300 | Commerce, Department of |
| 1321 | Bureau of Economic Analysis |
| 1323 | Bureau of the Census |
| 1325 | Economic Development Administration |
| 1328 | Maritime Administration |
| 1330 | National Oceanic and Atmospheric Administration |
| 1335 | National Telecommunications and Information Administration |
| 1341 | National Bureau of Standards |
| 1342 | National Technical Information Service |
| 1350 | International Trade Administration |
| 1352 | Minority Business Development Agency |

* from National Bureau of Standards FIPS Publication, "Codes for the Identification of Federal and Federally Assisted Organizations"

| | |
|------|--|
| 1355 | U.S. Travel Service |
| 1371 | Coastal Plains Regional Commission |
| 1372 | Four Corners Regional Commission |
| 1373 | New England Regional Commission |
| 1374 | Old West Regional Commission |
| 1375 | Ozarks Regional Commission |
| 1376 | Pacific Northwest Regional Commission |
| 1377 | Southwest Border Regional Commission |
| 1378 | Upper Great Lakes Regional Commission |
| 9700 | Defense, Department of |
| 96CE | U.S. Army Corps of Engineers—Civil |
| 9100 | Education, Department of |
| 9111 | Office for Civil Rights |
| 9112 | Educational Research and Improvement |
| 9113 | Elementary and Secondary Education |
| 9115 | Postsecondary Education |
| 9117 | Vocational and Adult Education |
| 9121 | Office of Bilingual Education and Minority Languages Affairs |
| 9135 | Learning Technologies and Library Programs |
| 9136 | National Institute of Education |
| 9137 | Office of Dissemination and Professional Development |
| 8900 | Energy, Department of |
| 8901 | Office of the Secretary of Energy |
| 8922 | Conservation and Renewable Energy |
| 8925 | Defense Programs |
| 8930 | Economic Regulatory Administration |
| 8933 | Energy Information Administration |
| 8936 | Energy Research |
| 8940 | Environmental Protection, Safety and Emergency Preparedness |
| 8944 | Fossil Energy |
| 8948 | Nuclear Energy |
| 8952 | Operations Office |
| 7500 | Health and Human Services, Department of |
| 7501 | Office of the Secretary of Health and Human Services |
| 7521 | Office of the Assistant Secretary for Health |
| 7522 | Alcohol, Drug Abuse, and Mental Health Administration |
| 7523 | Center for Disease Control |
| 7524 | Food and Drug Administration |
| 7526 | Health Resources Administration |
| 7527 | Health Services Administration |
| 7529 | National Institutes of Health |
| 7530 | Health Care Financing Administration |
| 7535 | Office of Child Support Enforcement |
| 7540 | Office of Human Development Services |
| 7550 | Social Security Administration |
| 8600 | Housing and Urban Development, Department of |
| 8601 | Office of the Secretary of Housing and Urban Development |
| 8620 | Community Planning and Development |
| 8630 | Housing—Federal Housing Commissioner |
| 8635 | Neighborhoods, Voluntary Associations, and Consumer Protection |
| 8645 | Policy Development and Research |